

# DECLARATION AND POWER OF ATTORNEY

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below at 201 et seq. underneath my name.

I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

## RECOMBINANT ANTI-CD40 ANTIBODY AND USES THEREOF

and for which a patent application:

- ☒ is attached hereto and includes amendment(s) filed on *(if applicable)*  
☐ was filed in the United States on as Application No. *(for declaration not accompanying application)*  
with amendment(s) filed on *(if applicable)*  
☐ was filed as PCT international Application No. on and was amended under PCT Article 19 on *(if applicable)*

I hereby state that I have reviewed and understand the contents of the above identified application, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION			
APPLICATION NUMBER	COUNTRY	DATE OF FILING (day, month, year)	PRIORITY CLAIMED
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional application(s) listed below.

APPLICATION NUMBER	FILING DATE

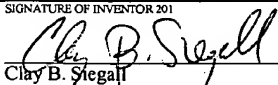
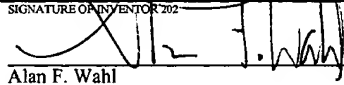
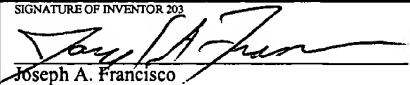
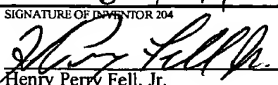
I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

APPLICATION SERIAL NO.	FILING DATE	STATUS		
		PATENTED	PENDING	ABANDONED

POWER OF ATTORNEY: As a named inventor, I hereby appoint S. Leslie Misrock (Reg. No. 18872), Harry C. Jones, III (Reg. No. 20280), Berj A. Terzian (Reg. No. 20060), Gerald J. Flintoft (Reg. No. 20823), David Weild, III (Reg. No. 21094), Jonathan A. Marshall (Reg. No. 24614), Barry D. Rein (Reg. No. 22411), Stanton T. Lawrence, III (Reg. No. 25736), Charles E. McKenney (Reg. No. 22795), Philip T. Shannon (Reg. No. 24278), Francis E. Morris (Reg. No. 24615), Charles E. Miller (Reg. No. 24576), Gidon D. Stern (Reg. No. 27469), John J. Lauter, Jr. (Reg. No. 27814), Brian M. Poissant (Reg. No. 28462), Brian D. Coggio (Reg. No. 27624), Rory J. Radding (Reg. No. 28749), Stephen J. Harbulak (Reg. No. 29166), Donald J. Goodell (Reg. No. 19766), James N. Palik (Reg. No. 25510), Thomas E. Friebe (Reg. No. 29258), Laura A. Coruzzi (Reg. No. 30742), Jennifer Gordon (Reg. No. 30753), Jon R. Stark (Reg. No. 30111), Allan A. Fanucci (Reg. No. 30256), Geraldine F. Baldwin (Reg. No. 31232), Victor N. Balancia (Reg. No. 31231), Samuel B. Abrams (Reg. No. 30605), Steven I. Wallach (Reg. No. 35402), Marcia H. Sundeen (Reg. No. 30893), Paul J. Zegger (Reg. No. 33821), Edmond R. Bannon (Reg. No. 32110), Bruce J. Barker (Reg. No. 33291), Adriane M. Antler (Reg. No. 32605), Thomas G. Rowan (Reg. No. 34419), James G. Markey (Reg. No. 31636), Thomas D. Kohler (Reg. No. 32797), Scott D. Stimpson (Reg. No. 33607), William S. Galliani (Reg. No. 33885), Gary S. Williams (Reg. No. 31066), Mark A. Farley (Reg. No. 33170) and Ann L. Gisolfi (Reg. No. 31956), all of Pennie & Edmonds LLP, whose addresses are 1155 Avenue of the Americas, New York, New York 10036, 1667 K Street N.W., Washington, DC 20006 and 3300 Hillview Avenue, Palo Alto, CA 94304, and each of them, my attorneys, to prosecute this application, and to transact all business in the Patent and Trademark Office connected therewith.

SEND CORRESPONDENCE TO:		PENNIE & EDMONDS LLP 1155 Avenue of the Americas New York, N.Y. 10036-2711		DIRECT TELEPHONE CALLS TO: PENNIE & EDMONDS LLP DOCKETING (212) 790-9090	
201	FULL NAME OF INVENTOR	LAST NAME Siegal	FIRST NAME Clay	MIDDLE NAME B.	
	RESIDENCE & CITIZENSHIP	CITY Edmonds	STATE OR FOREIGN COUNTRY Washington	COUNTRY OF CITIZENSHIP U.S.A.	
	POST OFFICE ADDRESS	STREET 639 8th Avenue S.	CITY Edmonds	STATE OR COUNTRY Washington	ZIP CODE 98020
202	FULL NAME OF INVENTOR	LAST NAME Wahl	FIRST NAME Alan	MIDDLE NAME F.	
	RESIDENCE & CITIZENSHIP	CITY Mercer Island	STATE OR FOREIGN COUNTRY Washington	COUNTRY OF CITIZENSHIP U.S.A.	
	POST OFFICE ADDRESS	STREET 6150 East Mercer Way	CITY Mercer Island	STATE OR COUNTRY Washington	ZIP CODE 98040
203	FULL NAME OF INVENTOR	LAST NAME Francisco	FIRST NAME Joseph	MIDDLE NAME A.	
	RESIDENCE & CITIZENSHIP	CITY Edmonds	STATE OR FOREIGN COUNTRY Washington	COUNTRY OF CITIZENSHIP U.S.A.	
	POST OFFICE ADDRESS	STREET 21705 92nd Avenue W.	CITY Edmonds	STATE OR COUNTRY Washington	ZIP CODE 98020
204	FULL NAME OF INVENTOR	LAST NAME Fell, Jr.	FIRST NAME Henry	MIDDLE NAME Perry	
	RESIDENCE & CITIZENSHIP	CITY Redmond	STATE OR FOREIGN COUNTRY Washington	COUNTRY OF CITIZENSHIP U.S.A.	
	POST OFFICE ADDRESS	STREET 741 218th Place N.E.	CITY Redmond	STATE OR COUNTRY Washington	ZIP CODE 98053
205	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY	ZIP CODE
206	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	STREET	CITY	STATE OR COUNTRY	ZIP CODE

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201  Clay B. Siegal	SIGNATURE OF INVENTOR 202  Alan F. Wahl	SIGNATURE OF INVENTOR 203  Joseph A. Francisco
DATE 6-7-99	DATE 6-7-99	DATE 6-7-99
SIGNATURE OF INVENTOR 204  Henry Perry Fell, Jr.	SIGNATURE OF INVENTOR 205	SIGNATURE OF INVENTOR 206
DATE 6-7-99	DATE	DATE

Express Mail No.: EM 061 021 295 US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Siegall et al.

Serial No.: To be assigned

Group Art Unit: To be assigned

Filed: On even date herewith

Examiner: To be assigned

For: RECOMBINANT ANTI-CD40 ANTIBODY  
AND USES THEREOF

Attorney Docket No.: 9632-005

**TRANSMITTAL OF VERIFIED STATEMENT CLAIMING SMALL  
ENTITY STATUS UNDER 37 C.F.R. §§ 1.9(f) and 1.27(c)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Attorneys for Applicants request that Small Entity Status be established and submit herewith an original executed Verified Statement Claiming Small Entity Status - Small Business Concern from Seattle Genetics, Inc., assignee of the above-identified application. It is requested that this document be made of record in the file of the above-identified patent application.

Respectively submitted,

Date: June 8, 1999

Adriane M. Antler 32,605  
Adriane M. Antler (Reg. No.)

**PENNIE & EDMONDS LLP**  
1155 Avenue of the Americas  
New York, N.Y. 10036  
(212) 790-9090

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: ☒ Application of: Siegall et al.  
☐ Patent of:

☒ Application No.: To be assigned  
☐ Patent No.:

Group Art Unit: To be assigned

☒ Filed: On even date herewith  
☐ Issued:

Examiner: To be assigned

For: RECOMBINANT CD40 ANTIBODY  
AND USES THEREOF

Attorney Docket No.: 9632-005

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
[37 CFR 1.9(f) and 1.27(c)] - Small Business Concern

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act in behalf of  
the concern identified below:

Name of organization Seattle Genetics, Inc.

Address of organization 22215 26th Avenue SE

Bothell, Washington 98021

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the person employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern and/or there is an obligation under contract or law by the inventor(s) to convey rights to the small business concern with regard to the invention entitled RECOMBINANT CD40 ANTIBODY AND USES THEREOF by inventor(s) Clay B. Siegall, Alan F. Wahl, Joseph A. Francisco, and Henry Perry Fell, Jr. described in

- ☐ the specification filed herewith  
☒ application no. **To be assigned filed On even date herewith**  
☐ patent no. **issued**

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME \_\_\_\_\_  
ADDRESS \_\_\_\_\_

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28 (b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to: PENNIE & EDMONDS LLP      Direct Telephone calls to:  
1155 Avenue of the Americas      PENNIE & EDMONDS LLP  
New York, N.Y. 10036-2711      (212) 790-9090

Name of person signing \_\_\_\_\_ H. Perry Fell, Jr.  
Title of person other than owner \_\_\_\_\_ President  
Address of person signing \_\_\_\_\_ 22215 26th Avenue SE  
Bothell, Washington 98021

Signature H. Perry Fell Date 6-7-99

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.  
(37 CFR 1.27)

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